

# Compact Council



## STRATEGIC/ WORK PLAN

**Fiscal Years - 2001-2006**

## **INTRODUCTION**

As we transition into the role of being the focus group which addresses the noncriminal justice user requests for access to criminal history information, we must be prepared to face challenges, security infractions, and a communications and information revolution. To meet these challenges, the Compact Council must address with ever greater focus the legislative authority outlined in its enabling legislation -The National Crime Prevention and Privacy Act of 1998, hereinafter referred to as the Compact and create a vision for the future, dovetailed into a roadmap for a successful approach to the many challenges ahead.

This strategic plan will be the product of many. Representatives from the Council will work as a product team to build the plan as an integral part of defining our mission successfully. The Council recognizes its priorities and the concerns of partners in state and local government as well as customers and stakeholders. This Strategic Plan demands vision and vigilance from all entrusted to carry out its mandates. The challenge is enormous, yet one which will be met by the Council by using the talents of a diverse and skilled professional work group.

The guidance in this strategic plan will serve us today and as we move forward in the 21st century.

## **VALUES STATEMENT**

The Compact Council recognizes that our values influence the way we serve the noncriminal justice community and the public. We are committed to excellence in regulating the use of the Interstate Identification Index (III) criminal history records for noncriminal justice use and, to that end, we will:

- Ensure that our work focuses on improving the quality and service for users of our national criminal history records system.
- Give consideration to the use of criminal history records, balanced against the benefits to and safety of society.
- Listen to, learn from, and collaborate with our customers on how best to address their needs, while giving due consideration to the confines of the Compact.
- Align our decision making and policies to further demonstrate we are committed to addressing the needs of the noncriminal justice users.
- Act and speak as an authoritative Council, while recognizing and respecting the diversity of needs of noncriminal justice organizations in our decision making.
- Promote an environment that supports the needs of the noncriminal justice community by providing fair access to information and an opportunity to provide input prior to the decision making process.

- Trust, encourage and support creative and innovative solutions consistent with the provisions in the Compact, and to encourage responsible risk taking, (criticism, debate, dissent) as fundamental principles in the way the Council operates.
- Endeavor to provide guidance to the noncriminal justice community in concert with the needs of the criminal justice community

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## **MISSION STATEMENT**

***THE COMPACT COUNCIL,***  
***as a national independent authority, works in partnership with criminal history record custodians, end users, and policy makers to regulate and facilitate the sharing of complete, accurate and timely criminal history record information to noncriminal justice users in order to enhance public safety, welfare and security of Society while recognizing the importance of individual privacy rights.***

## **VISION**

***TBD***

## COMPACT COUNCIL GOALS:

*Goal I - Increase the public's awareness and acceptance of the Compact Council's role as the authority on noncriminal justice issues.*

*Goal II - Achieve ratification of the Compact by all states.*

*Goal III - Seek input from, anticipate the needs of, and address issues raised by all parties of interest.*

*Goal IV - Become an independently funded and fully staffed body.*

*Goal V - Improve the accuracy, completeness and timeliness of criminal justice information provided to the noncriminal justice community.*

### ORGANIZATION OF THE STRATEGIC PLAN

This Strategic Plan is for the years 2001 through 2006. The plan is outlined to set forth the mission, vision and strategic goals of the Compact Council in summary format. Table formats are provided which include each of the Council's five strategic goals separately, along with related outcomes or objectives. To complete the strategies/work plan section for each objective, please consider the rationale and effort which should link the outcome or objectives to the strategic goals. Consideration in developing this work plan could include: resource assessment by which the Council will achieve its strategic goals; risk assessment such as

influencing/impacting key external factors that could affect our abilities to achieve the goals; the personnel to carry out each work function; and a way to determine the successfulness of each goal by including performance indicators (measures).

## COMPACT COUNCIL OBJECTIVES

Each objective contains a heading indicating the Goal(s) being supported; the Responsible Party for carrying out the strategies or work plan required to meet the Objective; the Strategic Fiscal Year (FY) planned for completion of the Strategy; and the Strategy/work plan. The bottom box indicates the output, outcome, and impact indicators for determining if the objective has accomplished the goal it supports.

Goal:	
Objective:	
Responsible Party:	
Resource Assessment:	
Risk Assessment:	
Strategic FY	Strategy
Work Plan	
Performance Indicators:	
Output:	
Outcome:	
Input:	

The following acronyms describe the Responsible Party

**CCC** = Compact Council Chairman  
**CCM** = Compact Council Members  
**CJIS** = Criminal Justice Information Services Staff  
**DISP** = Compact Council Dispute Adjudication Committee  
**EVAL** = Compact Council Evaluation Committee  
**EXEC** = Compact Council Executive Committee  
**OTHER** = (As Specified)  
**SANC** = Compact Council Sanctions Committee  
**STAN** = Compact Council Standards Committee

<b>Goal I:</b> Increase the public's awareness and acceptance of the Compact Council's role as the authority on noncriminal justice issues.	
<b>Objective 1:</b> Educate Council Members about the purpose of the Council and the issues facing this group.	
<b>Responsible Party:</b> Chair, Compact Council; CJIS Division	
<b>Resource Assessment:</b> Some funding needed from CJIS Division for resource materials to be provided to new members.	
<b>Risk Assessment:</b> New members that do not fully understand the Council's mandate and the current issues facing the Council will be unable to contribute fully to the advancement of the Council's goals.	
<b>Strategy FY</b>	<b>Strategy:</b> Orientation session prior to assuming council membership
<b>Work Plan</b>	
2001	(1) Create a standard briefing notebook for all current members, new members, and new compact officers. This notebook should include at minimum the following items: III Compact, membership list and committee breakdown, list of compact states, By-laws,

	SEARCH document on Compact purpose, Strategic Plan, Authorized Users information, most recent Council meeting minutes.
2001	(2) Ensure that all members have an opportunity to attend a new members briefing prior to their first meeting.
2001	(3) Establish a web presence to assist members in ongoing and timely updates of information relevant to the Council's mission and issues.

**Performance Indicators:**

**Output:** All members have briefing books and have gone through orientation.

**Outcome:** All members are able to participate fully in furthering the goals of the Council.

**Impact:** Faster response to critical decisions that the Council must make; better understanding of the Council's responsibilities among membership states and agencies.

<b>Goal 1:</b> Increase the public's awareness and acceptance of the Compact Council's role as the authority on noncriminal justice issues.	
<b>Objective 2:</b> Formalize relationship with the APB to enhance the exchange of information.	
<b>Responsible Party:</b> Council members	
<b>Resource Assessment:</b> Travel budget to coordinate with APB meetings.	
<b>Risk Assessment:</b> Duplication of efforts; failure to meet Council-specific mandate.	
<b>Strategy FY</b>	<b>Strategy:</b>
<b>Work Plan</b>	
2001	(1) Chairman should attend APB meetings until formal action plan has been adopted.
2001	(2) Develop ongoing plan for attendance at APB meetings and exchange of information.
2001	(3) Establish method to share information with all Council members between regular Council meetings.
2002	(1) Implement action plan for ongoing relationship with APB.
2002	(2) Identify shared issues and agree on responsible parties for action (i.e., solve jurisdictional issues).

**Performance Indicators:**

**Output:** Attendance at APB meetings

**Outcome:** Active participation in APB meetings; regular and routine exchange of information.

**Impact:** Clarified responsibilities between the Council and APB and coordinated activity between the two groups based on a clear understanding and acceptance of respective responsibilities.

**Goal 1:** Increase the public's awareness and acceptance of the Compact Council's role as the authority on



noncriminal justice issues.	
<b>Objective 3:</b> Educate and facilitate involvement of both provider and user groups.	
<b>Responsible Party:</b> All Council members, with the assistance of the CJIS Division.	
<b>Resource Assessment:</b> CJIS Division for contacts and printing of materials for distribution; travel budget for attendance of key council members to target groups.	
<b>Risk Assessment:</b> Failure to get "buy in" from both groups will decrease effectiveness of the Council.	
<b>Strategy FY</b>	<b>Strategy:</b>
<b>Work Plan</b>	
2001	(1) Identify regional and national seminars involving user and provider groups.
2001	(2) Prioritize meetings for which attendance by Council member(s) would be an effective tool in meeting this objective.
2001	(3) Identify effective way to get groups involved in regular Council meetings.
2001	(4) Plan for (or coordinate with key stakeholder), a conference or symposium on compact issues/opportunities.
2002	(1) Identify most effective steps taken in 2001 and schedule attendance accordingly.
2002	(2) Develop handout for user and provider groups to explain the Compact, the Council's role, and the opportunities/challenges facing these groups.
<b>Performance Indicators:</b>	
<b>Output:</b> Number of providers and users contacted with information about the Council; number of targeted meetings attended.	
<b>Outcome:</b> Regional and national groups' understanding of the Council's role is increased.	
<b>Impact:</b> User and provider groups are familiar with the way in which criminal justice information can be obtained through the policies and regulations promulgated by the Compact Council.	
<b>Goal I:</b> Increase the public's awareness and acceptance of the Compact Council's role as the authority noncriminal justice issues.	
<b>Objective 4:</b> Develop a public relations campaign to include articles/letters to educate the public of the council's existence.	
<b>Responsible Party:</b> Council, with assistance of CJIS Division.	
<b>Resource Assessment:</b> Undetermined.	
<b>Risk Assessment:</b> Failure to gain popular support for ratification of the Compact.	
<b>Strategy FY</b>	<b>Strategy:</b>
<b>Work Plan</b>	
2001	(1) Ask the AG for a letter to be sent to governors in non-compact states; send a copy to each state's AG and House/Senate leadership.
2001	(2) Identify key constituent groups in each non-compact states that can champion the Compact.
2001	(3) Request that information be included on USDOJ's web page concerning the Compact, the Council, and the Council's mission.
2001	(4) Establish a strong web presence for the dissemination of information.
2001	(5) Publish articles in CJIS newsletters.
2002	(1) Assess effectiveness of steps taken in 2001 and target most productive avenues to meet this objective.
2002	(2) Publicize successful implementation of the Compact in the first states to ratify the

	Compact.
<b>Performance Indicators:</b>	
<b>Output:</b> Letter from the AG mailed; constituent groups identified; web page presence established; news campaign started.	
<b>Outcome:</b> Information dispersed to key stakeholders and interest groups about the Council's role and responsibilities.	
<b>Impact:</b> Wider acceptance of the Council's goals and the benefits of Compact ratification, resulting in clearly identified support groups.	
<b>Goal II:</b> Achieve ratification of the compact by all states.	
<b>Objective 1:</b> Take steps to bring the advantages of becoming a compact state to the attention of political leadership in non-compact states.	
<b>Responsible Party:</b> Council members	
<b>Resource Assessment:</b> Undetermined	
<b>Risk Assessment:</b> Failure to have sufficient participation in meeting the goals of the Compact Act.	
<b>Strategy FY</b>	<b>Strategy:</b>
<b>Work Plan</b>	
2001	(1) Request SEARCH suggest ways to identify barriers to passing the Compact in non-compact states.
2001	(2) Focus on objectives listed under Goal I to build support for achieving this goal.
2002	(1) Assess participation in ratification and progress toward ultimate goal of 100% participation.
2002	(2) Identify successful steps that lead to ratification and target resources accordingly.
2002	(3) Identify key supporters at the Federal level to gain additional champions for ratification.
2002	(4) Work with the following target groups: SEARCH National Governors Association (NGA) National Association of Attorneys General (NAAG) National Council of State Legislators International Association of Chiefs of Police National Sheriffs Association National Association of District Attorneys National Center for Courts National Association of State Information Resource Executives (NASIRE) Global Justice Information Network Advisory Committee National Institute of Corrections (NIC) Boy Scouts/Girl Scouts Big Brothers/Big Sisters Boys Clubs/Girls Clubs North American Gaming Regulators Association American Association of Retired Persons (AARP) National Education Association (NEA) Human Services Associations (not identified) General News Media
<b>Performance Indicators:</b>	
<b>Output:</b> Number of states with legislation proposed and/or pending for ratification.	
<b>Outcome:</b> Number of additional states that have ratified the compact.	
<b>Impact:</b> Greater availability of up-to-date, accurate information for non-criminal justice purposes.	
<b>Goal III:</b> Seek input from, anticipate the needs of, and address issues raised by all parties of interest.	
<b>Objective 1:</b> Establish a mechanism for the Council to obtain and solicit input from criminal justice and	

noncriminal justice users to address issues and needs in regards to the sharing of CHRI.	
<b>Responsible Party:</b>	
<b>Resource Assessment:</b>	
<b>Risk Assessment:</b>	
<b>Strategy FY</b>	<b>Strategy:</b>
<b>Work Plan</b>	
2001	(1) Distribute the notice of meeting, agenda, papers, and minutes to state central repositories.
2002	(1) Encourage symposium with noncriminal justice users (SEARCH).
2002	(2) Create a Compact Council liaison with each CJIS APB Working Group. Have Compact Council update at each Working Group meeting (opportunity for update and soliciting input).
2002	(3) Develop a national web site for the CC with a noncriminal justice focus (needs to include who we are, how to reach us, issues on the horizon). Should have an E-mail drop. Include Frequently Asked Questions Web Page.
2002	(4) Develop a list of E-mail addresses for users who submit fingerprint cards.
<b>Performance Indicators:</b>	
<b>Output:</b> Number of E-mail Addresses Number of E-mails received on list server	
<b>Outcome:</b>	
<b>Impact:</b>	
<b>Goal IV:</b> Become an independently funded and fully staffed body.	
<b>Objective 1:</b> Work with CJIS to establish a dedicated fund within the FBI for Council Activities (ASAP).	
<b>Responsible Party:</b> Chairman	
<b>Resource Assessment:</b>	
<b>Risk Assessment:</b>	
<b>Strategy FY</b>	<b>Strategy:</b> Request commitments from CJIS to fund future meetings, including committee meetings.
<b>Work Plan</b>	
2001?	Chairman send letter to AD Kirkpatrick.
<b>Performance Indicators:</b>	

**Output:** Request dispersed to AD Kirkpatrick; response received; dedicated funding established.

**Outcome:** Observing proper protocols, foster Council initiatives to become fully funded

**Impact:**

Note: Short term objective  
Seek FBI line item

**Goal IV:** Become an independently funded and fully staffed body.

**Objective 2:** Explore creative funding ideas

**Responsible Party:** T.B.D.

**Resource Assessment:**

**Risk Assessment:**

<b>Strategy FY</b>	<b>Strategy:</b> Request /explore making user fees available/earmarked for Compact funding.
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<b>Work Plan</b>	
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2002?	(1) Educate Council members and complete research necessary to make user fees available/earmarked for Compact funding.
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**Performance Indicators:**

**Output:**

**Outcome:**

**Impact:**

Note: Statutory Authorization

**Goal IV:** Become an independently funded and fully staffed body.

**Objective 3:** Research the proper approach to Congress to establish budget for: meeting expenses; staff (administrative); legal counsel, outreach programs to include: ratification by noncompact states; constituency groups; liaison with policy makers.

**Responsible Party:** Chairman/T.B.D.

**Resource Assessment:**

**Risk Assessment:**

<b>Strategy FY</b>	<b>Strategy:</b> Approach Congress for annual appropriation consideration.
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<b>Work Plan</b>	
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2001?	(1) Education/Research.
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2001?	(2) Chairman meet with AG & FBI Director to discuss Compact Council issues in
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	general, and more specifically funding for the Council meetings.
<b>Performance Indicators:</b>  <b>Output:</b>  <b>Outcome:</b>  <b>Impact:</b>	
<b>Goal V:</b> Improve the accuracy, completeness, and timeliness of criminal justice information provided to the noncriminal justice community.	
<b>Objective 1:</b> Work with APB and other interested parties to improve data quality and to provide for a timely, accurate and cost efficient means to access CHRI.	
<b>Responsible Party:</b>	
<b>Resource Assessment:</b>	
<b>Risk Assessment:</b>	
<b>Strategy FY</b>	<b>Strategy:</b> Provide baseline for data review.
<b>Work Plan</b>	
2001?	(1) Identify existing measurement systems for Council review (DOJ/SEARCH/CJIS Audit etc.) (e.g. disposition reporting,, arrest reporting, timeliness, etc.).
2001?	(2) Work with CJIS Audit Staff to develop a report on data trends; provide briefing to Council on a routine basis.
2001?	(3) Work jointly with APB to plan course of action when concerns are identified.
2001?	(4) Work with CJIS ITMS & Audit staff to determine feasibility of additional management information reports to facilitate monitoring.
<b>Performance Indicators:</b>  <b>Output:</b>  <b>Outcome:</b>  <b>Impact:</b>	
<b>Goal V:</b> Improve the accuracy, completeness and timeliness of criminal justice information provided to the noncriminal justice community.	
<b>Objective 2:</b> Develop a process to monitor the maintenance and dissemination of criminal history records through the III system for noncriminal justice purposes in compact and noncompact states.	
<b>Responsible Party:</b>	
<b>Resource Assessment:</b>	
<b>Risk Assessment:</b>	

<b>Strategy FY</b>	<b>Strategy:</b>
<b>Work Plan</b>	
2001?	(1) Develop MOU's with non-party states
2002?	(1) Review the III Operational and Technical Manual, NFF Qualification Requirements and other sources to produce a comprehensive set of rules that would be promulgated by the Council to govern the use of III for noncriminal justice purposes nationwide.
2002?	(2) Provide to the Compact Council standard updates on NFF state operational reports and FBI IAFIS responses. Need to go back to NFF Task Force and review agenda items from those meetings to see if those items need to be now moved to Compact Council meetings.
<b>Performance Indicators:</b>	
<b>Output:</b>	
<b>Outcome:</b>	
<b>Impact:</b>	

## DEFINITIONS

Goal:	A major, long term result that supports the Compact Council's mission.
Impact:	Successful results achieved through utilization of the Compact Council's products. Examples: 1) By notifying a day care provider that an applicant is a convicted sex offender, the applicant is not hired and children are protected.
Input:	Information, funding, product, service, or action received by the Compact Council. Examples: Received \$100,000 for staffing needs of the Compact Council.
Mission:	A statement of the ultimate purpose for the Compact Council's existence.
Outcome:	The usefulness and/or purpose of the product for the customer(s). Example: Of the more than six million civil fingerprint card submissions for employment, licensing, etc., the Division identified over 600,000 individuals having criminal history records. Of those, an estimated 70,000 used a name different than on their criminal record. This represents meaningful information provided to our customers.
Overlapping:	Similar functions or tasks conducted by two or more entities that may represent a duplication of effort.
Output:	Tabulation, calculation, or recording of activity (processing) or effort and can be expressed in a quantitative or qualitative manner.
Objective:	A major accomplishment that moves the Compact Council closer to achieving a goal.
Strategy:	A planned action(s) that moves the Compact Council closer to achieving an objective.

## ACRONYMS

AD	Assistant Director
APB	Advisory Policy Board
BJS	Bureau of Justice Statistics
CC	Compact Council
CCC	Compact Council Chairman
CFR	Code of Federal Regulations
CJIS	Criminal Justice Information Services Staff
DISP	Compact Council Dispute Adjudication Committee
DOJ	Department of Justice
EVAL	Compact Council Evaluation Committee
EXEC	Compact Council Executive Committee
FBI	Federal Bureau of Investigation
FY	Fiscal Year
III	Interstate Identification Index
LE	Law Enforcement
NCIC	National Crime Information Center
NFF	National Fingerprint File
PDS	Programs Development Section
PFN	Personnel Funding Needed
R&D	Research and Development
RFP	Request for Proposal
SANC	Compact Council Sanctions Committee
STAN	Compact Council Standards Committee
TBD	To Be Determined
U.S.	United States
X	No additional funding (personnel or materials) required to accomplish this strategy